IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re: Gerald H. Negley et al. Application Serial No.: 10/659,108

Group Art Unit: 2814

Filed: September 9, 2003

Examiner: Thao X. Le

Confirmation No.: 4336

SOLID METAL BLOCK MOUNTING SUBSTRATES FOR SEMICONDUCTOR

LIGHT EMITTING DEVICES

January 13, 2005

Mail Stop Amendment Commissioner for Patents P.O. Box 1450 Alexandria, VA 22313-1450

THIRD SUPPLEMENTAL INFORMATION DISCLOSURE STATEMENT **PURSUANT TO 37 C.F.R. §1.97(c)**

Sir:

Attached is a list of documents on Form PTO-1449, together with a copy of any listed foreign patent document and/or non-patent literature. A copy of any listed U.S. patent and/or U.S. patent application publication is not provided herewith in accordance with the amendment by the U.S. Patent and Trademark Office to 37 C.F.R. § 1.98(a)(2)(ii) effective October 21, 2004. This Information Disclosure Statement is submitted in accordance with 37 C.F.R. § 1.97(c), before final Office Action or Allowance, whichever is earlier. It is requested that these documents be considered by the Examiner and officially made of record in accordance with the provisions of 37 C.F.R. § 1.56 and Section 609 of the MPEP.

In accordance with the requirements of 37 C.F.R. § 1.97(c)(2), a check for the \$180.00 fee specified in 37 C.F.R. § 1.17(p) is enclosed. This amount is believed to be correct. However, the Commissioner is authorized to charge any deficiency or credit any overpayment to Deposit Account No. 50-0220.

Respectfully submitted

Mitchell S. Bigel

Registration No. 29,614

Myers Bigel Sibley & Sajovec, P.A.

P. O. Box 37428

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Customer No. 20792

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Susan E. Freedman

Date of Signature: January 13, 2005

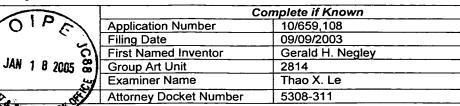
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Substitute form 1449A/PTO

INFORMATION DISCLOSURE STATEMENT BY APPLICANT

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Sheet 1 of

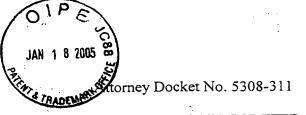


		U.	S. PATENTS	AND PATENT PUBLICATIONS	
Examiner Initials*	Cite No.	U.S. Patent D	ocument	Name of Patentee or Applicant of Cited	Date of Publication of Cited Document
		Number	Kind Code (if known)	Document	MM-DD-YYYY
	1.	US-6,744,077	B2	Trottier	06/01/2004
	2.	US-2004/0056260	A1	Slater, Jr. et al.	03/25/2004
	3.	US-2004/0041222	A1	Loh	03/04/2004
	4.	US-2003/0153861	A1	Royer	08/14/2003
	5.	US-6,066,861		Höhn et al.	05/23/2000
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				FOREIGN PA	ATENT DOCUMENTS	_	
Examiner Initials*	Cite No.	Foreign Patent Document			Name of Patentee or Applicant of Cited	Date of Publication of Cited Document	Т
		Office	Number	Kind Code (if known)		MM-DD-YYYY	
	7.	wo	97/24706	A2/A3	Cree Research, Inc.	07/10/1997	
	8.	JP	2003-318448	A	Nichia Chem Ind. Ltd.	11/07/2003	
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	†						

		OTHER NON PATENT LITERATURE DOCUMENTS	
Examiner Initials*	Cite No.	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published	Т
	9.	Andrews, Methods for Packaging A Light Emitting Devices, U.S. Serial No. 60/557,924, filed 03/31/2004	
	10.	Andrews, Reflector Packages and Methods for Packaging of a Semiconductor Light Emitting Devices, U.S. Serial No. 60/558,314, filed 03/31/2004	
	11.	Cabot Corporation, Using Nanogel in Daylighting Systems, retrieved 01/11/2005 from http://w1.cabot-corp.com/Controller.jsp?	
	12.	Cree, Inc., Cree Optoelectronics LED Product Line, Publication CPR3AX, Rev. D, 2001-2002	
	13.	Negley et al., Light Emitting Diode Arrays for Direct Backlighting of Liquid Crystal Displays, U.S. Serial No. 11/022,332, Filed 12/23/2004	
	14.	Negley et al., Methods of Coating Semiconductor Light Emitting Elements by Evaporating Solvent From a Suspension, U.S. Serial No. 10/946,587, filed 09/21/2004	
	15.	Negley et al., Transmissive Optical Elements Including Transparent Plastic Shell Having a Phosphor Dispersed Therein, and Methods of Fabricating Same, U.S. Serial No. 10/659,240, filed 09/09/2003	
	16.	Negley, Reflective Optical Elements for Semiconductor Light Emitting Devices, U.S. Serial No. 10/898,608, filed 07/23/2004	
	17.	Negley, Semiconductor Light Emitting Device Mounting Substrates and Packages Including Cavities and Cover Plates, and Methods of Packaging Same, U.S. Serial No. 11/011,748, filed 12/14/2004	
	18.	Negley, Semiconductor Light Emitting Devices Including Patternable Films Comprising Transparent Silicone and Phosphor, and Methods of Manufacturing Same, U.S. Serial No. 10/947,704, filed 09/23/2004	
	19.	Negley, Solid Metal Block Semiconductor Light Emitting Devices Mounting Substrates and Packages Including Cavities and Heat Sinks, and Methods of Packaging Same, U.S. Serial No. 10/972,910, filed 10/25/2004	
	20.	Notification of Transmittal of The International Search Report and The Written Opinion of the International Searching Authority, or the Declaration, International Search Report and Written Opinion of the International Searching Authority, PCT/US2004/017325, 09/28/2004	

Examiner Signature	Date Considered	



IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re: Gerald H. Negley et al.

Confirmation No.: 4336

Application Serial No.: 10/659,108

Group Art Unit: 2811

Filed: September 9, 2003

SOLID METAL BLOCK MOUNTING SUBSTRATES FOR SEMICONDUCTOR LIGHT EMITTING DEVICES, AND OXIDIZING METHODS FOR FABRICATING

SAME

February 24, 2004

Commissioner for Patents P.O. Box 1450 Alexandria, VA 22313-1450

SUPPLEMENTAL INFORMATION DISCLOSURE STATEMENT **PURSUANT TO 37 C.F.R. § 1.97(b)**

Sir:

Attached is a form PTO-1449, together with a copy of any listed foreign patent document and/or non-patent literature. A copy of any listed U.S. patent and/or U.S. patent application publication is not provided herewith in accordance with the waiver by the U.S. Patent and Trademark Office of requirements under 37 C.F.R. § 1.98(a)(2)(i) for all U.S. national patent applications filed after June 30, 2003 and for all international applications that have entered the national stage under 35 USC § 371 after June 30, 2003. This Information Disclosure Statement is submitted in accordance with 37 C.F.R. §1.97(b), within three months of the filing date of the above-referenced application or before the mailing of a first Office Action on the merits, whichever event occurs last. Therefore, no fee is believed due. However, the Commissioner is hereby authorized to charge any deficiency or credit any overpayment to Deposit Account No. 50-0220.

Mitchell S. Bigel

Registration No. 29,614

Myers Bigel Sibley & Sajovec, P.A. P. O. Box 37428, Raleigh, NC 27627

Telephone: (919) 854-1400 Facsimile: (919) 854-1401 Customer No. 20792

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Susan E. Freedman

Date of Signature: February 24, 2004

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Substitute form 1449A/P	TO /		Co	on., te if Known	
	- 1	144	Application Number	10/659,108	
INFORMATION DIS	CLOSURE	JAN 1 R 20 O	Filing Date	09/09/2003	
STATEMENT BY A	PPI ICANTA	" / 8 2005 &	First Named Inventor	Gerald H. Negley	
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Sheet 1	of 2		Attorney Docket Number	5308-311	
		Cronway Strike	Examiner Name	5308-311	

		U.	S. PAIENIS	AND PATENT PUBLICATIONS		
Examiner Initials*	Cite No.	U.S. Patent Document		Name of Patentee or Applicant of Cited Document	Date of Publication of Cited Document	
iiidais .		Number	Kind Code (if known)		MM-DD-YYYY	
	1	US-2003/0006418	A1	Emerson et al.	01/09/2003	
 	2	US-2002/0123164	A1	Slater, Jr. et al.	09/05/2002	
	3	US-6,391,231	B1	Evans et al.	05/21/2002	
	4	US-6,383,417	B1	Paulson et al.	05/07/2002	
	5	US-6,252,254	B1	Soules et al.	06/26/2001	
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^{*}EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

Substitut	Substitute form 1449A/PTO			C	Con., te if Known		
				Application Number	10/659,108		
INFOR	INFORMATION DISCLOSURE STATEMENT BY APPLICANT (use as many sheets as necessary)			Filing Date	09/09/2003		
				First Named Inventor	Gerald H. Negley		
3171				Group Art Unit			
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Sheet	12	of	2	Attorney Docket Number	5308-311		

				FOREIGN F	PATENT DOCUMENTS		
Examiner Initials*	Cite No.	Foreign Patent Document			Name of Patentee or Applicant of Cited Document	Date of Publication of Cited Document	T
ii iii iidio	, 10.	Office	Number	Kind Code (if known)		MM-DD-YYYY	
	40	JP	2003-17755	Α	Nichia Chem Ind Ltd.	01/17/2003	
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		OTHER NON PATENT LITERATURE DOCUMENTS	
Examiner Initials*	Cite No.	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published	T
	64	Craford, Overview of Device Issues in High-Brightness Light-Emitting Diodes, Chapter, High Brightness Light Emitting Diodes; Semiconductors and Semimetals, Vol. 48, Stringfellow et al. ed., Academic Press, 1997, pp. 47-63	
	65	Loh. Power Surface Mount Light Emitting Die Package, USSN 10/446,532, 05/27/2003	
	66	Slater, Jr. et al., Phosphor-Coated Light Emitting Diodes Including Tapered Sidewalls and Fabrication Methods Therefor, USSN 60/411,980, 09/19/2002	
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Substitute form 1449A/PTO	/ ~	Co	mplete if Known
		Application Number	10/659,108
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STATEMENT BY APPLICANT	13.	First Named Inventor	Gerald H. Negiey
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Sheet 1 of	1	Attorney Docket Number	5308-311

U.S. PATENTS AND PATENT PUBLICATIONS						
Examiner Initials*	Cite No.	U.S. Patent Document		Name of Patentee or Applicant of Cited Document	Date of Publication of Cited	
		Number	Kind Code (if known)	Document	Document MM-DD-YYYY	
	1.	US-2003/0173575	A1	Eisert et al.	09/18/2003	
	2.	US-6,404,125	B1 ^	Garbuzov et al.	06/11/2002	
	3.	US-6,373,188	B1	Johnson et al.	04/16/2002	
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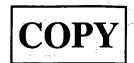
FOREIGN PATENT DOCUMENTS							
Examiner Initials*	Cite No.	Foreign Patent Document			Name of Patentee or Applicant of Cited Document	Date of Publication	T
		Office	Number	Kind Code (if known)	Document	of Cited Document MM-DD-YYYY	
	5.	wo	01/61764	A1	Osram Opto Semiconductors GMBH & Co. OHG.	08/23/2001	
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OTHER NON PATENT LITERATURE DOCUMENTS				
Examiner Cite Initials* No.		Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published		
	6.	International Search Report, PCT/US03/27912, 01/30/2004		

Examiner Signature		Date Considered	
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^{*}EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.





11-19-03

5308-311 November 11, 2003

Commissioner for Patents
P.O. Box 1450
Alexandria, VA 22313-1450

Sir: Kindly acknowledge receipt of the accompanying by placing your receiving date stamp hereon and mailing:

Information Disclosure Statement, Form PTO-1449 and 27 of 66 references cited; In re: Gerald H. Negley et al.; Serial No. 10/659,108; Filed September 9, 2003; For: SOLID METAL BLOCK MOUNTING SUBSTRATES FOR SEMICONDUCTOR LIGHT EMITTING DEVICES, AND OXIDIZING METHODS FOR FABRICATING SAME

Respectfully submitted,
MYERS BIGEL SIBLEY & SAJOVEC